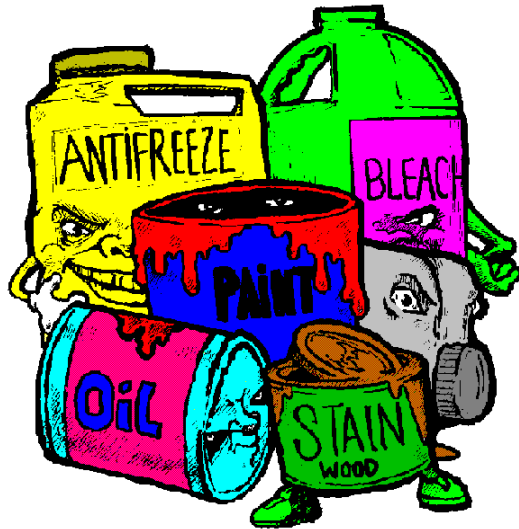


**STATE OF CALIFORNIA  
ENVIRONMENTAL PROTECTION AGENCY**



**LOCAL GOVERNMENT  
HOUSEHOLD HAZARDOUS WASTE GRANT  
FISCAL YEAR 2002/03**

**Application Instructions**

**California Integrated Waste Management Board  
Household Hazardous Waste Grant Program  
1001 I Street, MS-21  
P.O. Box 4025  
Sacramento, CA 95812-4025  
(916) 341-6457**

## GRANT APPLICATION SUBMITTAL CHECKLIST

- ☐ Application Cover Sheet (Exhibit A)
- ☐ Table of Contents
- ☐ Resolution(s) (Exhibits B-1 and B-2); and, if applicable, Letter(s) of Authorization (Exhibit F)
- ☐ Proposal Narrative (not to exceed 15 pages, exclusive of the required attachments)
- ☐ Work Statement Form(s) (Exhibit C)
- ☐ Budget Itemization (Exhibit D)
- ☐ Summary of Used Oil and HHW Grants (Exhibit E)
- ☐ Recycled Content Purchasing Evaluation Sheet (Exhibit G)
- ☐ One original and three copies of the application must be mailed to the address below. Identify the original application with a mark or stamp indicating "original" and mark or stamp the copies, "copy." The application must be typed in a font no smaller than 12 point, printed on 8 ½x 11" recycled-content paper, double sided and numbered consecutively. Copies must be free of distortion and easy to read.
- ☐ Application should be stapled in upper left-hand corner

### **Application Filing Procedures:**

Applications must be postmarked, or exhibit a commercial carrier tracking number, dated by **Friday, April 5, 2002**. Applications postmarked, or exhibiting a commercial carrier tracking number, dated after Friday, April 5, 2002, will not be accepted and will be returned to the applicant. **Hand delivered, faxed, or E-mailed applications will not be accepted.**

If you need additional information, contact Eric Brown at (916) 341-6459 or Pat McDermott at (916) 341-6452.

Please mail applications to:

**California Integrated Waste Management Board  
HHW Grant FY 2002-03  
Attn: Kelley Tyack, Grants Administration Unit  
1001 I Street, MS-10  
P.O. Box 4025  
Sacramento, CA 95812-4025**

■ **Question and Answer Period**

Questions about the FY 2002/03 application may be submitted in writing from January 28 through March 7, 2002 to Eric Brown, by e-mail to [ebrown@ciwmb.ca.gov](mailto:ebrown@ciwmb.ca.gov) or sent by mail to:

California Integrated Waste Management Board  
Attn: Eric Brown  
Used Oil and HHW Grants  
1001 I Street, MS-21  
P.O. Box 4025  
Sacramento, CA 95812-4025

Staff will use the questions submitted to develop a question and answer sheet on or before March 18, 2002. Responses will be posted on the CIWMB's grants website [www.ciwmb.ca.gov/HHW/Grants](http://www.ciwmb.ca.gov/HHW/Grants) and mailed out upon request. To the extent possible, similar questions will be grouped together. Please note that no project specific questions will be answered.

TENATIVE DATES	ACTIVITY
January 28 to April 5, 2002	Application period
January 28 to March 7, 2002	Question and Answer Period
March 18, 2002	Questions and Answers Posted on CIWMB Website
April 5, 2002	Application submittal deadline
May to June 2002	Panels review applications and prepare recommendations
August 2002	CIWMB approves grants
August 2002	Grant agreements developed and signed
September 1, 2002	Grant recipients begin grant projects
March 31, 2005	Close of grant term
May 15, 2005	Deadline to submit final report and payment request

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\*CIWMB – California Integrated Waste Management Board

\* HHW – Household Hazardous Waste

# HOUSEHOLD HAZARDOUS WASTE GRANT FY 2002/03

## I. GRANT SUMMARY AND GUIDELINES

### ■ BACKGROUND

Public Resources Code Section 47200 authorizes the California Integrated Waste Management Board (CIWMB or Board) to award competitive grants to local government agencies for programs that reduce the amount of Household Hazardous Waste (HHW) disposed of at solid waste landfills. **If you have questions or need additional information, contact Eric Brown at (916) 341-6459 or Pat McDermott at (916) 341-6452.**

### ■ APPLICANT ELIGIBILITY

Eligible applicants are limited to California cities, counties, and local agencies, including Indian reservations and rancherias, that recognize themselves as local agencies responsible for HHW management. Commercial businesses and nonprofit groups are not eligible to apply for this grant. Only one application may be submitted by a jurisdiction. If you apply as part of a regional group, you cannot submit an individual application.

### ■ GRANT FUNDING

Grant funds must be used to establish or expand HHW programs that provide permanent collection opportunities, with corresponding and effective publicity campaigns. Proposed activities should complement local and regional HHW management and used oil programs. It is anticipated that \$3 million dollars will be available for this fiscal year's (FY 2002/03) HHW Grant Program. The anticipated maximum award is \$150,000 per individual applicant and \$300,000 per regional applicant.

Public Resources Code Section 47200 directs the CIWMB to focus funding priorities toward:

- ◆ New programs for rural areas, underserved areas, and for small cities;
- ◆ Expansion of existing programs to provide for collection of additional waste types, innovative or more cost-effective collection methods, or expanded public education services; and
- ◆ Regional HHW programs.

For FY 2002/03 HHW Grants, in addition to the statutory priorities, the program criteria will be weighted towards jurisdictions that:

- ◆ Did not receive an HHW grant award during the last two HHW grant cycles – HD9 or HD10;
- ◆ Propose to expand existing programs or initiate a new HHW program to include collection of e-waste, u-waste or paint; and/or
- ◆ Propose to establish an HHW collection program and/or an HHW collection education program targeting underserved populations.

■ **GRANT TERM**

The anticipated term of the grant is from September 1, 2002 through March 31, 2005. All costs must be incurred during the grant term.

■ **ELIGIBLE COSTS**

All costs must be directly related to the development and/or management of the approved grant project. Such costs may include materials, services, equipment, and facilities that increase opportunities for the proper collection and management of unwanted household hazardous products provided that they are reasonable, cost-effective, and focused on local and/or regional, or statewide needs as described in the application.

■ **INELIGIBLE COSTS**

Any costs not directly related to the approved grant project are ineligible for grant funding. These include but are not limited to the following costs:

- ◆ Costs incurred prior to or after the grant term
- ◆ Costs currently covered by another CIWMB loan, grant or contract
- ◆ Costs to maintain existing HHW program
- ◆ Purchasing or leasing of land
- ◆ Leasing of buildings
- ◆ Purchasing or leasing of vehicles by non-governmental agencies
- ◆ Remediation
- ◆ Enforcement activities
- ◆ Management, handling, disposal, or treatment of radioactive, explosive or medical wastes, and other extremely hazardous waste
- ◆ Overtime costs (except for local government staffing during evening or weekend events when law or labor contract requires overtime compensation)
- ◆ Out of state travel
- ◆ Any food or beverages (e.g. as part of meetings, workshops, training, or events)
- ◆ Preparation of HHW Elements
- ◆ Public education costs not directly tied to HHW collection
- ◆ Profit or mark-up by the grantee
- ◆ Any costs that are not consistent with local, state, and federal guidelines and regulations
- ◆ Cell phones, pagers and palm pilots
- ◆ Development of school curricula

## **II. GRANT APPLICATION REVIEW AND AWARD PROCESS**

■ **APPLICATION REVIEW**

After the close of the application period, review panels consisting of CIWMB staff will be convened. The panels will evaluate applications using the scoring criteria listed in Exhibit H. Applicants must attain at least 77 out of the 110 possible points to be considered for funding.

- **PARTIAL FUNDING OF PROPOSALS**

The review panels may recommend partial funding of some or all proposals.

- **CIWMB AWARD OF GRANTS**

The Board is expected to consider the grant funding recommendations at its August 2002 Board Meeting.

### **III. APPLICATION INSTRUCTIONS**

The HHW Grant application must contain the following information in the order prescribed:

- ◆ Application Cover Sheet Form (Exhibit A) must have original signature;
- ◆ Table of Contents;
- ◆ Resolution(s) (Exhibits B-1 and B-2); and, if applicable, Letter(s) of Authorization (Exhibit F)
- ◆ Proposal Narrative (this may not exceed 15 pages):

Must be addressed by all applicants:

- Section 1: Need;
- Section 2: Objectives;
- Section 3: Methodology, including Work Statement Form (Exhibit C);
- Section 4: Evaluation;
- Section 5: Budget, including Budget Itemization (Exhibit D);
- Section 6: Completeness, Letters of Support, Experience, etc.; include Summary of Used Oil and HHW Grants form (Exhibit E)
- Section 7: Recycled-content purchasing policy, include Recycled Content Purchasing Evaluation Sheet (Exhibit G);

Address only if applicable:

- Section 8: Programs for Rural or Small Cities;
- Section 9: Multi-jurisdictional HHW Programs;
- Section 10: No HHW Grant funding during the last two cycles;
- Section 11: HHW collection or education programs targeting underserved populations; and
- Section 12: Expand or initiate new programs to collect e-waste, u-waste, or paint.

- **COVER SHEET (Exhibit A)**

The required Cover Sheet Form (Exhibit A) may be adapted to each applicant's computer software; however, the format **must** be followed exactly. Instructions for completing the form are on the reverse side of the form.

- **RESOLUTION (Exhibit B-1 & B-2)**

The approved resolution for a single jurisdiction and all supporting documents for a regional program **MUST BE SUBMITTED NO LATER THAN AUGUST 6, 2002.** **Please select the designated signature authority carefully because only the person in the designated position will be able to sign the Grant Agreement Form and Payment Request Form.** If a "designee" is authorized in the resolution, be sure to also include a letter signed by the signature authority indicating the title of the designee.

You must submit, preferably with the grant application package but no later than August 6, 2002, either:

- ◆ **B-1:** An approved resolution from the applicant's governing body which authorizes submittal of an application for the FY 2002/03 HHW Grant and identifies the title of the individual authorized to execute any agreements, contracts, and requests for payment (see Sample Exhibit B-1); **OR**
- ◆ **B-2:** An approved resolution from the applicant's governing body which authorizes the submittal of grant applications to the California Integrated Waste Management Board for all available HHW or Used Oil grants under the California Integrated Waste Management Act and California Oil Recycling Enhancement Act, and identifies the title of the individual authorized to execute any agreements, contracts, and requests for payment (see Sample Exhibit B-2).

**Regional and JPA Programs** – Multiple jurisdictions may join together to submit a regional application. A lead agency must be designated by the participating jurisdictions. **In addition to submitting one of the resolutions described in B-1 and B-2 above, the lead applicant is responsible for obtaining from the participating jurisdictions and preferably including with the grant application, or providing no later than August 6, 2002, one of the following:**

- ◆ A letter from the county administrator/city manager (see Exhibit F) stating that the jurisdiction wants to participate in the regional program **and authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or,**
- ◆ A resolution from the participating jurisdiction's governing body stating that the jurisdiction wants to participate in the regional program **and authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or,**
- ◆ A copy of a Memorandum of Understanding **specifically for this grant proposal authorizing the lead applicant to act on behalf of the jurisdiction both as applicant and grant administrator.**

■ **PROPOSAL NARRATIVE**

The narrative must clearly and concisely describe and justify each task presented in the proposal. The proposal narrative should address the project summary as well as the twelve scoring criteria (Exhibit H). The narrative is limited to 15 pages, not including exhibits and attachments. A well-prepared application will address each question briefly, but thoroughly. The tip boxes should help you focus on information that is important to include. **The applicant is responsible for supplying sufficiently detailed information for the review panel(s) to fully evaluate the proposal.**

Attachments to support the proposal narrative include the Work Statement Form (Exhibit C), the Budget Itemization (Exhibit D), the Summary of Used Oil and HHW Grants Form (Exhibit E), and the Recycled Content Purchasing Evaluation Sheet (Exhibit G). Instructions for completing the Work Statement and the Summary of Used Oil and HHW Grants Forms are on the reverse side of each form. Provide attachments and any supporting documentation with the appropriate section(s) as outlined below.

**Briefly address each question below, remembering to note the information requested in the boxes and the application preparation tips. The proposal narrative is limited to 15 pages not including exhibits and other attachments.**

## **GENERAL REVIEW CRITERIA (78 points possible)**

### **Introduction: Project Summary (be very brief – 1 paragraph)**

- What is the problem you are addressing? Briefly describe your project.
- 1. **Need (20 points)** - Grant proposal clearly describes and demonstrates the local or statewide need for the project and the benefits and end products resulting from the project. Provide convincing reasons why the project should be funded.
  - (7 pts.) Clearly describe and demonstrate the local or statewide need for the project as related to the establishment of new programs, or expansion of existing programs, that address the proper management of HHW.
  - (5 pts.) Address identified gap in service availability or current unmet need.
  - (2 pts.) Support the existence of the problem with surveys and/or studies.
  - (4 pts.) Adequately describe any health and safety threats or environmental concerns.
  - (2 pts.) Identify existing and previous grant work that supports the project or justifies a different approach.

**TIP:** Make sure to include in the narrative past and current Used Oil and HHW Grants and how they relate to the proposal. Local Demographic Studies/Statistics include: Target population size; percentage of population targeted; service area; illegal dumping documentation; available collection opportunities; frequency of collections; number and location of permanent facilities; waste types collected, map of collection opportunities, amount of HHW collected (past CIWMB Form 303 information) and estimated amount collected with future program.

2. **Objectives (10 points)** – Grant narrative is sufficiently detailed to determine that the project:

(5 pts) Is based on identified need described in the narrative.

(5 pts.) Describes specific and measurable goals and objectives and how they relate to the need.

**TIP:** *The term of this grant is anticipated to be 31 months, demonstrate that your project is ready to begin and that objectives can be achieved within the indicated time frame.*

3. **Methodology (10 points)** – Proposal narrative describes by task the activities to be undertaken to achieve the objectives. Include completion of the Work Statement Form (Exhibit C).

(3 pts.) Describe why the proposed activities are the best way to address the identified need.

(2 pts.) Identify staffing required to carry out the proposed project.

(1 pts.) Describe involvement of cooperating organizations.

(2 pts.) Present a specific plan for future funding.

(2 pts.) Work Statement demonstrates that objectives can be achieved with available time and resources.

**TIP:** *List tasks; sequenced timeline (the grant term is 31 months); explain how you will achieve the objectives. Permits & variances needed? Cost of continuing program, list funding priorities and give reasons. Work Statement and grant narrative describe by task the activities to be undertaken to achieve the project tasks. If permanent facility is proposed, has CEQA been completed?*

4. **Evaluation (7 points)** – Proposal narrative describes a method to evaluate the success of the project and determine whether objectives were accomplished.

(2 pts.) Include both process and outcome evaluation.

(1 pts.) Describe a method for evaluating and modifying methods during project implementation.

(1 pt.) Describe clearly the criteria for determining success.

(1 pt.) State who will be responsible for the evaluation.

(1 pt.) Explain any statistical tests or questionnaires to be used.

(1 pt.) Describe any evaluation reports to be produced.

**TIP:** *Process evaluation – did you complete what you set out to do? Outcome evaluation – did your program have an effect on your target audience? Don't confuse tracking with evaluation.*

5. **Budget (10 points)** – Proposal narrative sufficiently demonstrates that the proposed expenses are reasonable. All program elements described in the proposal narrative and Work Statement are itemized in the budget.

(3 pts.) Provide quotes, estimates or other documentation to support the amount requested.

(3 pts) Itemize in the budget all program elements described in the grant narrative and Work Statement.

(2 pts.) Describe cost savings, e.g., use of volunteer labor, in-kind services, recycling options, use of existing promotional material, etc.

(2 pts.) Clearly describe, and keep to a minimum, budget items for managerial costs, contingency, or miscellaneous costs.

Arrange **Budget Itemization** by these categories:

**Permanent Collection Facilities:** Costs for the establishment, expansion, and operation of a permanent HHW collection facility. Costs for recycle-only facilities should also be included here.

**Temporary or Mobile Collection:** Costs for one-day, intermittent collection events, or mobile collection (other than residential collection) of HHW.

**Residential Collection:** Costs to establish, continue, or expand curbside or door-to-door collection of HHW.

**Publicity and Education:** Costs for the development, printing, and distribution of HHW publicity or educational materials that promote HHW collection opportunities.

**Load Checking:** Costs for inspection of loads at solid waste landfills or transfer stations for HHW. Costs for containment (permanent or semi-permanent structure) should also be included here.

**Personnel/Other:** All personnel costs and any other eligible expenditure that cannot be assigned to another category.

**TIP:** Be sure to include Budget Itemization (Exhibit D). Review the ineligible and eligible cost sections of this application package to determine eligible costs. Reference the page number of your quotes; provide details for equipment, services and supplies; justify all non-specific costs such as overhead and miscellaneous. If quote lists more than one item, please highlight the applicable item. Proposal narrative and Budget Itemization demonstrates that the project is cost effective and makes judicious use of the requested grant funds. **Make the budget clear and concise; present the budget in such a manner that someone unfamiliar with your organization will understand it. Carefully check the accuracy and cost-effectiveness of all budget items, extraneous and unsupported budget items will count against you! Items for which there are no quotes may be eliminated. All items listed in the Budget Itemization must be discussed in the narrative.**

6. **Completeness, Letters of Support, Experience (5 points)** - Grant proposal is clearly presented and completed as required in the application instructions including adherence to all specified deadlines. Includes evidence that the applicant or its contractor(s) have sufficient staff resources, technical expertise, and experience successfully managing grant programs, to carry out the proposed project. Includes completed Summary of Used Oil and HHW Grants Form (Exhibit E).

(2 pts.) Include letters of support for the project.

(2 pts.) Address ability of the applicant to coordinate contracted activities and past Used Oil/HHW grant performance.

(1 pts.) Include resumes and/or background statements for key project personnel and contractors, references, etc.

**TIP:** Double check your application and make sure everything asked for is included, and in the order required. Avoid assumptions that the application is the same as last year or that reviewers have access to outside information. Provide Letters of Support to sufficiently support your proposal – for example, for a Regional application be sure to include letters of support from as many jurisdictions as possible that will be impacted by the proposal. Note: Letters of Support may be addressed to Kelley Tyack (see page 11 for mailing address).

7. **Evidence of a Recycled-Content Purchasing Policy or Directive (16 points)** –

Applicant demonstrates evidence of recycled-content policy by the purchase of recycled-content products, recycled or reused products, such as re-refined oil, recycled-content paper, use of compost and mulch, and other “green” products or materials, or engages in other waste reduction activities where appropriate and feasible. Applicant will be awarded points if:

(4 pts.) Policy is in place or has been adopted during the application period by the applicant, or its governing body. Include a copy of the policy or directive.

(4 pts.) Applicant can provide evidence of purchasing recycled-content products.

(4 pts.) Applicant, or its governing body, can provide evidence of sustainable practices pertaining to re-refined oil within the past year.

(4 pts.) Applicant, or its governing body, proposes to evaluate their Recycled-Content Products (RCP) purchasing policy annually. Evaluation should address the positive and negative features, the sustainable practices performed during the past year, and a plan to increase the percentage of RCP by applicant.

**TIP:** Make sure to include Recycled Content Purchasing Evaluation Sheet, (Exhibit G), and that the signature authorized in the resolution signs the certification at the bottom of the form. Documentation can be in the form of an agreement, recent invoice(s) that clearly show purchase of recycled-content products, or a policy/directive statement. Check your local jurisdiction General Services Agency or Administrative Services Department for a recycled-content purchasing policy or directive.

## PROGRAM CRITERIA (32 points possible)

### 8. New Programs for HHW Collection in Rural Areas and/or Small Cities (3 points) -

- A Rural Area is a county having a population of 200,000 or less.
- A Small City is a city with a population of less than 35,000.

**TIP:** Check the Dept. of Finance, Demographics Unit, latest population statistics for cities and counties prior to completing this section. Their web address is <http://www.dof.ca.gov>.

### 9. Establishes Multi-Jurisdictional HHW Programs (2 points) -

- What regional needs will the proposed program meet?
- Which jurisdictions will be participating?
- Why is each jurisdiction participating in the program, consider cost efficiency, geographical boundaries, economies of scale, etc.?

**TIP:** A jurisdiction is defined as a city or county, a city and county, or regional agency.

### 10. Did Not Receive HHW Grant Funding During Last Two Cycles (5 points) -

- Grant Proposal is from an applicant who did not receive an HHW Grant award during the last two cycles – HD9 FY 2000-01 and HD10 FY 2001-02.

**TIP:** If your jurisdiction, or any participating jurisdiction in your regional application, did not receive funding in the HD9 or HD10 Grant Cycles, you are eligible for these points.

### 11. Establish an HHW Collection Program and/or an HHW Collection Education Program Targeting Underserved Populations. (12 points) -

- Grantee should clearly describe a specific strategy for targeting this population taking into consideration cultural differences, levels of education, economics, and accessibility to HHW collection.

**TIP:** What percentage of the jurisdiction's population does this target audience represent? What percentage of this population changes their own oil? If you are establishing an HHW collection program, how will your program be financed after the grant is over: tipping fees, service charges, user fees? **Provide the funding plan in a letter from your designated signature authority if you are proposing a permanent facility.**

### 12. Expands Existing Programs or Initiates a New HHW Program to Include Collection of E-waste, U-waste or Paint (10 points) -

- How will program expand HHW collection opportunities?
- What additional waste types will be collected?

**TIP:** If additional waste types are being added, please be sure they are described in the need, objectives, etc.

## IV. GRANT ADMINISTRATION

### ■ GRANT AGREEMENT

Following the Board's approval of the grant applications, tentatively scheduled for the August 2002 Board Meeting, the awarded jurisdictions will receive a Grant Agreement that includes the Terms and Conditions and the Procedures and Requirements. Copies of these documents in draft form are available for review by grant applicants. Call the CIWMB at (916) 341-6457 to request these documents or view them on our website (<http://www.ciwmb.ca.gov/HHW/Grants/default.htm>). The Grant Agreement will include the applicant's Budget Itemization and Work Statement. The signature authority, designated by resolution, is the only person authorized to sign the Grant Agreement.

**This grant may not be funded unless the proposed Grantee meets the following two conditions within 90 days from the date of mailing of the Grant Agreement by the CIWMB: 1) the return of a complete and signed Grant Agreement; and 2) the full payment of all outstanding debts owed by the proposed Grantee to the CIWMB. Check with your Accounting Office to determine if your jurisdiction has any outstanding CIWMB invoices.**

The grant agreement is tentatively scheduled for a term of 31 months beginning September 1, 2002 and terminating March 31, 2005.

### ■ PAYMENT OF GRANT FUNDS

Grant funds are paid on a reimbursement basis for actual costs directly related to the implementation of the approved project. Payment will be made only for costs described in the applicant's approved Budget Itemization. All payment requests must be prepared as described in the Procedures and Requirements and include an itemization with documentation of claimed expenses (e.g., receipts, invoices, Personnel Expenditure Summary Forms, etc.) **Ten percent (10%) of each approved payment request will be withheld until completion of the grant terms.**

### ■ AUDIT REQUIREMENTS

The Grantee agrees that the CIWMB, the Department of Finance, the Bureau of State Audits, or their designated representative(s) shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. The Grantee agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later. The Grantee agrees to allow the designated representative(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include a similar right of the State to audit records and interview staff in any contract or subcontract related to performance of this Agreement.

**Applications must be postmarked by Friday, April 5, 2002.  
Applications postmarked after that date will not be accepted.  
Hand delivered, e-mailed, or faxed applications will not be  
accepted.**

**Mail applications to:**

**California Integrated Waste Management Board  
Attn: Kelley Tyack, Grant Administration Unit, HD 11 Grant  
1001 I Street, MS-10  
P.O. Box 4025  
Sacramento, CA 95812-4025**